

FIG. 1

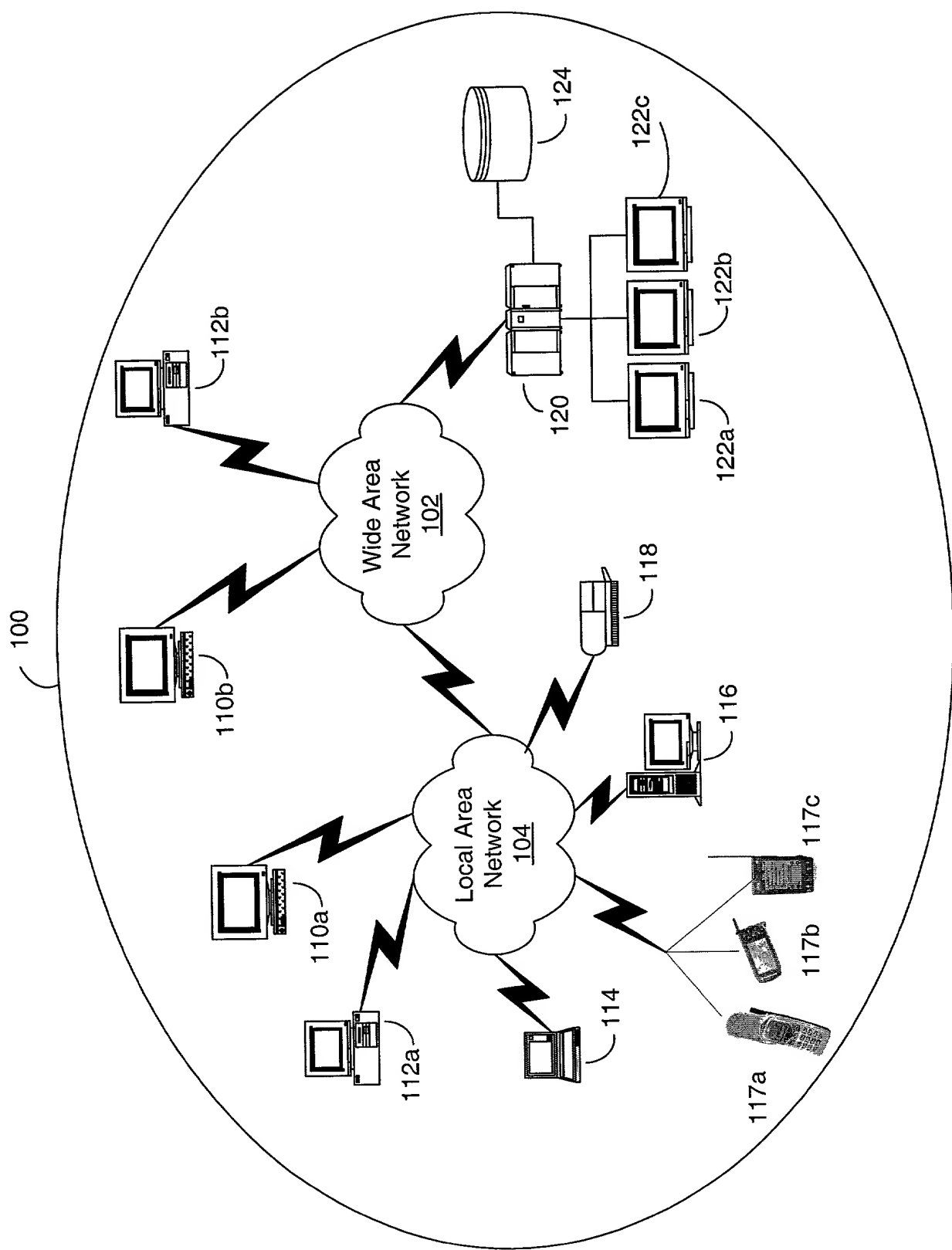


FIG. 2

FIG. 3 is a diagram illustrating the structure of the Securities Transaction Processing Software 30. The diagram shows two main components: Object Class 300 and Instance of an Object Class 300a. Object Class 300 contains a CLASS NAME 320 (Trader 321), a LIST OF PROPERTIES 330 (Name 331, Date_of_Birth 332, Sex 333, Address 334, Phone_Number 335, Occupation 336, Account_Number 337), and a LIST OF METHODS 340 (calculate_age{} 341, risk_factor{} 342, trading_history{} 343). Instance of an Object Class 300a contains an OBJECT NAME 320a (John_Doe: Trader 321a), a LIST OF OBJECT PROPERTIES 330a (Name = John Doe 331a, Date_of_Birth = 07/04/1976 332a, Sex = M 333a, Address = N/A 334, Phone_Number = 800-8000 335a, Occupation = Engineer 336a, Account_Number = SFJD11 337a), and a LIST OF OBJECT METHODS 340a (calculate_age{} 341a, risk_factor{} 342a, trading_history{} 343a). An arrow labeled Instance 350 points from Object Class 300 to Instance of an Object Class 300a.

Securities Transaction Processing Software 30

Instance 350

Object Class 300

CLASS NAME 320
Trader 321

LIST OF PROPERTIES 330
Name 331
Date_of_Birth 332
Sex 333
Address 334
Phone_Number 335
Occupation 336
Account_Number 337

LIST OF METHODS 340
calculate_age{} 341
risk_factor{} 342
trading_history{} 343

Instance of an Object Class 300a

OBJECT NAME 320a
John_Doe: Trader 321a

LIST OF OBJECT PROPERTIES 330a
Name = John Doe 331a
Date_of_Birth = 07/04/1976 332a
Sex = M 333a
Address = N/A 334
Phone_Number = 800-8000 335a
Occupation = Engineer 336a
Account_Number = SFJD11 337a

LIST OF OBJECT METHODS 340a
calculate_age{} 341a
risk_factor{} 342a
trading_history{} 343a

FIG. 3

24

SCANNED # 24

450 455 460 465 470 485 490 495

Account	Buy/Sell	Stock	Shares	Price	Market	Date	Time	Comm. +	Fees	Proceeds
4MBX	DELL B	200	\$38.75	NASD	06/20/00	9:21:10	\$14.95	\$14.95	\$14.95	-\$7,764.95
4MBX	DELL B	100	\$38.00	NASD	06/20/00	9:22:20	\$14.95	\$14.95	\$14.95	-\$3,814.95
4MBX	DELL B	500	\$39.50	NASD	06/20/00	9:24:55	\$14.95	\$14.95	\$14.95	-\$19,764.95
4MBX	DELL B	50	\$37.00	NASD	06/20/00	9:29:15	\$14.95	\$14.95	\$14.95	-\$1,864.95
4MBX	DELL S	-600	\$31.00	NASD	06/20/00	11:11:05	\$21.15	\$21.15	\$21.15	\$18,578.85

Buy transaction 4001
Buy transaction 4002
Buy transaction 4003
Buy transaction 4004
Sell transaction 4005

Number	Stock	Sell	Shares	Price	Market	Date	Time	Comm.	Proceeds
4MBX	DELL B	500	\$39.50	NASD	06/20/00	9:24:55	\$14.95	\$14.95	-\$19,764.95
4MBX	DELL B	200	\$38.75	NASD	06/20/00	9:21:10	\$14.95	\$14.95	-\$7,764.95
4MBX	DELL B	100	\$38.00	NASD	06/20/00	9:22:20	\$14.95	\$14.95	-\$3,814.95
4MBX	DELL B	50	\$37.00	NASD	06/20/00	9:29:15	\$14.95	\$14.95	-\$1,864.95
4MBX	DELL S	-600	\$31.00	NASD	06/20/00	11:11:05	\$21.15	\$21.15	\$18,578.85

Inventory sorted
by price in
descending order
4006

Account	Buy/Sell	Stock	Shares	Price	Market	Date	Time	Comm. +	Fees	Proceeds
4MBX	DELL B	200	\$38.75	NASD	06/20/00	9:21:10	\$14.95	\$14.95	\$14.95	-\$7,764.95
4MBX	DELL B	100	\$38.00	NASD	06/20/00	9:22:20	\$14.95	\$14.95	\$14.95	-\$3,814.95
4MBX	DELL B	50	\$37.00	NASD	06/20/00	9:29:15	\$14.95	\$14.95	\$14.95	-\$1,864.95
4MBX	DELL S	-100	\$31.00	NASD	06/20/00	11:11:05	\$21.15	\$21.15	\$21.15	\$3,078.85

Inventory sorted
by price in
descending order
4006

Number	Stock	Sell	Shares	Price	Market	Date	Time	Comm.	Proceeds
4MBX	DELL B	100	\$38.75	NASD	06/20/00	9:21:10	\$7.48	\$7.48	-\$3,882.48
4MBX	DELL B	100	\$38.00	NASD	06/20/00	9:22:20	\$14.95	\$14.95	-\$3,814.95
4MBX	DELL B	50	\$37.00	NASD	06/20/00	9:29:15	\$14.95	\$14.95	-\$1,864.95

Inventory sorted
by price in
descending order
4006

FIG. 4

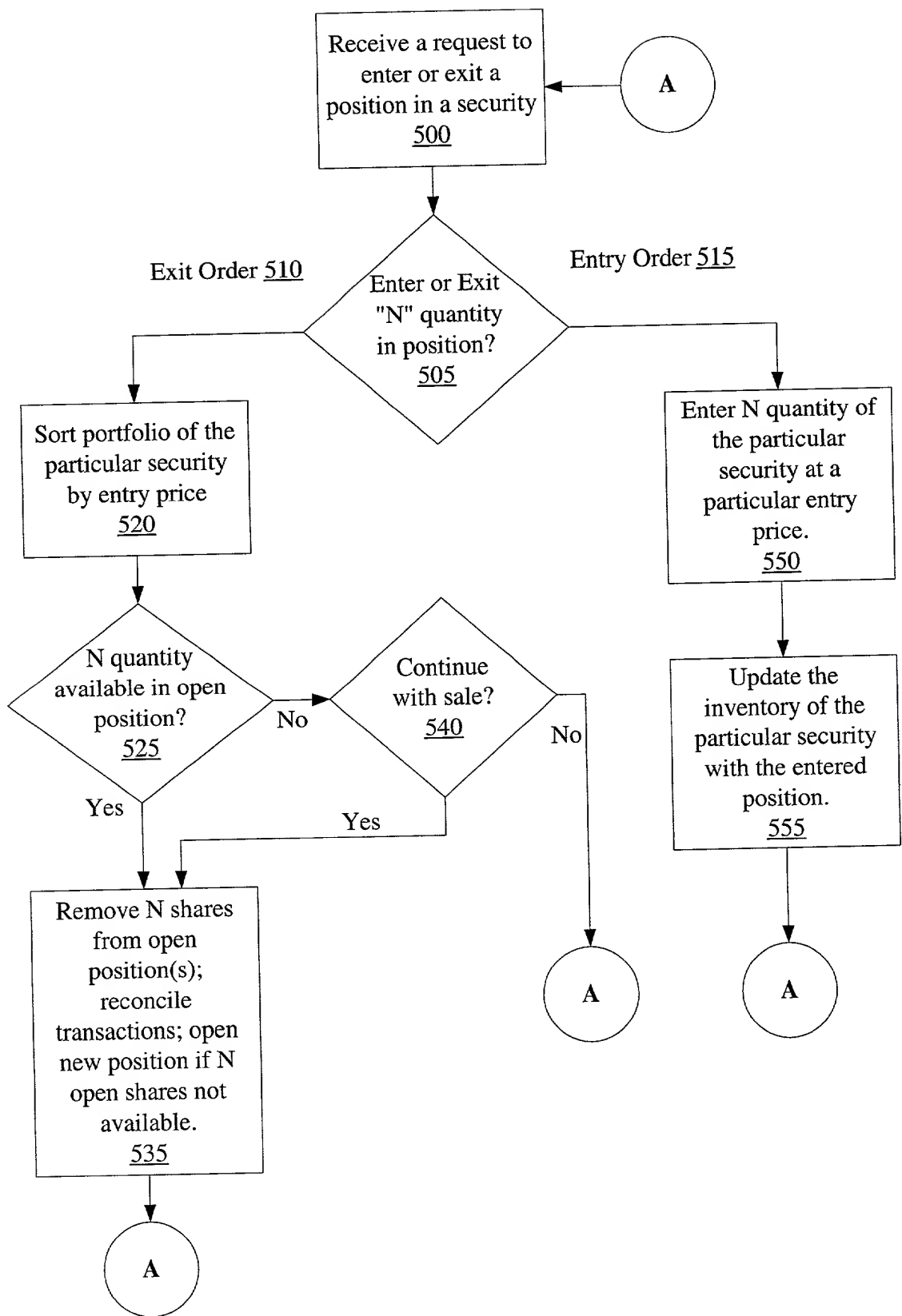


FIG. 5

FIG. 6

450	455	615	920	625	475	635	640	650	655	660	665	670
Account Number	Stock	Shares	Buy Price	Sell Price	Market	Buy Date	Buy Time	Sell Date	Sell Time	Buy Proceeds	Selling Proceeds	Profit/Loss
4MBX	DELL	500	\$39.50	\$31.00	NASD	06/20/00	9:24:55	6/20/2000	11:11:05	\$19,764.95	\$15,482.38	-\$4,282.58
4MBX	DELL	100	\$38.75	\$31.00	NASD	06/20/00	9:21:10	6/20/2000	11:11:05	\$3,882.48	\$3,096.48	-\$786.00

600

First reconciliation entry reflects greater of sell order quantity N or number of shares associated with highest priced security 675

Remaining reconciliation entries to meet sell order quantity 680